

**NOS  
INTEGRATION TEAM**

**Recommendations  
To The  
Assistant Administrator  
For  
The National Ocean Service**

**Report Prepared By:  
NOS Staff to Integration Team  
and  
Lynne Carbone & Associates, Inc.**

# **I. ACKNOWLEDGEMENTS**

We would like to thank the many NOS employees at all levels of the agency who took the time to participate in the input sessions, the charter process and the strategic planning meetings. Their enthusiasm and candor reflect the commitments and interest the workforce has in strengthening NOS to accomplish its mission and to better deliver NOS=s specific products and services. The work done previously by the Coastal Stewardship Task Force (CSTF) provided an excellent springboard for the effort. The designation of NOS by Dr. Baker to lead NOAA=s implementation of the CSTF recommendations provided the motivation for NOS to look past its former boundaries to explore uncharted roles and responsibilities.

## II. EXECUTIVE SUMMARY AND BACKGROUND

The National Ocean Service (NOS) has an unique opportunity to become the national leader in Coastal Stewardship. Given the mix of programs and capabilities within NOS and the potential for substantive relationships with coastal related programs with the rest of NOAA and other agencies, NOS can articulate a vision of a national coastal stewardship ethic and work with a broad range of partners to achieve this vision. The NOS Integration Team embraced the opportunity to provide Dr. Foster, the new Assistant Administrator of Ocean Services and Coastal Zone Management, with a fully integrated cross program viewpoint for positioning NOS to lead this Coastal Stewardship charge.

This report summarizes the work and recommendations of the Integration Team supported by Lynne Carbone and Associates, Inc. The Team consisted of 10 employees (Appendix 1) representing a cross section of the NOS workforce and two external consultants.

This effort evolved from Dr. Baker=s appointment of Dr. Nancy Foster as the Assistant Administrator for NOS with the lead in implementing the Coastal Stewardship Task Force (CSTF) recommendations. NOS was charged to make the necessary cultural, operational and structural changes to its organization (Appendix 2).

The Integration Team embraced the opportunity to provide Dr. Foster with a fully integrated cross-viewpoint for positioning NOS to lead this Coastal Stewardship charge. Drawing upon the results of employee input sessions, the CSTF report and recommendations, charter reports and other internal NOS strategic planning efforts, the Team analyzed the current organization=s culture, operations and structure and formulated a series of recommendations for positive change in NOS (Appendix 3).

### Key Gaps or Impediments

The Team quickly realized that a number of gaps or impediments exist in the current organization that might prevent NOS success. Deliberations affirmed or uncovered key issues (Appendix 4) including:

#### **External Perspectives**

- C Fragmentation of coastal programs - uneven coordination across NOAA.
- C Absence of a single NOAA or NOS voice externally.
- C Need for a consistent scientific basis for resource management decisions.
- C Confusing and uncoordinated regional NOS coastal presence.
- C Poorly organized NOS constituencies.
- C NOS science and information not easily accessible or in useful form.

### **Internal Perspectives**

- C Unclear NOS identity, direction, agenda and subsequent plans/programs.
- C Inadequate cross program coordination, integration, and duplicate capabilities of efforts.
- C Need for coordinated corporate systems for planning, budgeting, information management, performance management and accountability.
- C Ineffective field/headquarters interactions.
- C Non-corporate approach to customer service - external and internal.
- C Ineffective corporate management behaviors and practices.
- C Inconsistent leadership at all levels.

## **Change Strategy**

***After the Team discussed key gaps and impediments, a clear focus and new direction for NOS emerged. The overarching recommendation is for NOS to develop and execute a strategy that creates an integrated coastal stewardship capability. This capability must be highly responsive and adaptable to meet customer needs and to ensure a balance of environmental and economic objectives.***

The Integration Team identified many external factors that facilitate and/or compel NOS to seize the leadership opportunity in coastal stewardship. These include: increasing pressures on coastal resources, technology advances, higher customer expectations, a changing Federal role, NPR streamlining objectives, increasing competition for service, and the ever increasing importance of partnerships in day-to-day work.

Based on the information reviewed, analysis done and the ensuing discussions, the Integration Team recommended changes in NOS: (1) Culture, (2) Structure, and (3) Operations. The cultural area is deemed most critical and emphasizes leadership and behavior changes that must be made if NOS is to assume the lead as NOAA's coastal stewardship agent, nationally and globally. The operational and structural changes are intended to facilitate, support or promote necessary behavior changes within and across NOS. An overall approach of evolutionary change achieved through a Learning by doing model is a key theme of the proposal (Appendix 5).

The significant shift in NOS culture (attitudes, behaviors and belief systems) must move toward corporate identity and recognition of program interdependency. Historically, the Holding company model has prevailed. The Team provided specific suggestions for leadership, cross NOS teams, formal training and development, a system for succession planning, customer service practices, and performance management.

The structure component offers groupings of major lines of business and proposes to clarify NOS key products and services into Science, Response, Management, Navigation, Positioning and Technical Services. The intent is to promote synergy of like products and services and minimize duplication of effort. It highlights a more formalized regional presence and emphasizes cross-program mechanisms for decision making, managing across programs and planning. Highlights of the line office products/services are provided. The structure proposal is highly dependent on changes needed in the culture and day-to-day operations.

The proposed changes in day-to-day operations are heavily focused on instituting mechanisms to promote cross-program interaction, coordination and synergy. Furthermore, efficient systems for corporate decision-making, planning, performance, accountability, information management, customer interaction and infrastructure support are required. The proposed model offers a tiered process for NOS decision making where different levels are empowered to manage appropriately across levels at headquarters and in the field.

## Principles

The key messages for successful change in NOS are embodied by a set of summary principles:

- C Achieving the coastal stewardship mission requires a marshaling of all NOS capabilities with an integrated, cooperative and synergistic spirit.
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- C NOS products and services are shared in order to achieve the stewardship mission.
- C Maintaining a balanced view of stewardship on behalf of the environment and economy is critical.
- C NOS leadership and its ability to achieve coastal stewardship is dependent on all forms of partnerships and key relationship internally and externally.
- C The customer service ethic applies equally to internal NOS customers as well as to our external customers.

## Implementation

A preliminary implementation strategy for Year One begins on Page 25. It requires a major dedicated effort of leadership, time, staff and funds. The Integration Team envisions an initial track of change activities which moves alongside and eventually merges with current organizational commitments, evolving to a crossover between the current and desired states. The Team enthusiastically volunteers to lead the change effort in support of reshaping the NOS organization.

### III. VISION, OPPORTUNITIES, IMPEDIMENTS AND GAPS

The Integration Team articulates a vision for NOS in Coastal Stewardship as: (Appendix 6)

***Based on a foundation of sound science, provide leadership to advance the sustainable use of coastal systems\* to support the nation=s economic prosperity and environmental well being.***

The message is that ***NOS will aggressively seize the Coastal Stewardship leadership role*** on behalf of NOAA, nationally and globally. This vision explicitly reflects the proper balance between use and protection.

The Integration Team also developed a coastal stewardship goal statement:

***Our goal is that the Coastal Stewardship ethic be embraced by individuals and institutions in all sectors of society with an emphasis on those residing in or using coastal areas.***

NOS has a real opportunity to advance this goal by:

- C Holding the national coastal stewardship dialogue on coastal use and protection. (This could ultimately result in NOAA/NOS providing leadership in an equivalent effort to the Stratton Commission and in drafting national legislation.)

Furthermore,

- C To define and implement the coastal stewardship national agenda, NOS needs to recreate itself to:
  - ~ Create and sustain partnerships to enable or empower coastal stewards.\*\*
  - ~ Provide world class science relevant to coastal stewardship.
  - ~ Set national and global standards.
  - ~ Provide technical advice, products, services and tools.
  - ~ Advocate the agenda within NOAA, nationally and globally.

And ultimately, NOS needs to be accountable for results.

- \* Coastal Systems - natural and institutional systems
- \*\* Coastal stewards include individuals and institutions in the public, private, not-for-profit, academic and stakeholder sectors of the coastal community.

The Integration Team recommends that NOS set the agenda, tone, and expectations, and deliver its specific products and services in a style and manner to foster a coastal stewardship ethic, nationally and globally (Appendix 7).

## Is NOS Up To The Challenge?

Considerable time was spent inventorying and characterizing NOS products and services. This step was necessary to give the entire team a common level of understanding and to ensure that core products and services were addressed in the report. Issues, such as duplicate capabilities, potential synergies and linkages, were discussed and cataloged. Significant follow-up work to evaluate, expand, and ultimately finalize the inventory of NOS=s products and services is recommended. (Appendices 8 and 9).

The inventory activity made it clear that NOS does have the core capabilities and resources to take the leadership role in coastal stewardship. However, ***its challenge is to integrate the independent products and services into a suite of integrated and interdependent NOS stewardship capabilities.***

NOS must begin the evolution from a holding company, metaphorically depicted as a track team with individual stars, to a metaphorical basketball team, where interdependence is required for team success.

The Integration Team identified specific actions needed for NOS to evolve into an effective leader for Coastal Stewardship. With respect to influence and conduct of national and global leadership, a number of issues need to be addressed:

- C A ***national*** Coastal Stewardship dialogue has not been held since the Stratton Commission.
- C Federal ***interagency coordination*** does not consistently flow from a central NOS philosophy.
- C ***International*** and ***national interactions*** occur in an uncoordinated manner across governments, within NOAA and within NOS.
- C The ***nation=s laws*** that govern the coastal regions often work at cross-purpose and prevent a coherent, strategic approach to Coastal Stewardship.

With respect to NOS positioning itself to lead NOAA into a major coastal stewardship role, the following issues must be addressed.

- C The Agency must begin to ***visualize*** itself in this ***new integration role***.
- C A ***new*** set of ***cultural values*** must be embraced that emphasize teamwork, cooperation, program coordination and customer relations.

- C ***Strategic, operational*** and ***financial*** planning and ***human resources*** systems need to be modified to reflect the new emerging culture.
- C ***Cross-program*** development and execution ***mechanisms*** must be developed and institutionalized.
- C Field and ***regional presences*** need to be linked and coordinated.
- C Policy and program formulation and execution need to become more ***proactive***.
- C Greater emphasis needs to be placed on using ***science*** and technology in formulating and ***executing decisions***.
- C ***Customers*** must become ***more involved*** in the formulation and execution of program and delivery of products and services.

The deliberations of the Integration Team focused on understanding these issues and then formulating recommendations designed to build on NOS=s strengths, to remove the impediments and to fill in the gaps. The following section entitled ANOS Evolutionary Change Strategy@ contains recommendations to strengthen NOS in its lead role.





## IV. NOS EVOLUTIONARY CHANGE STRATEGY

### Introduction

The change model developed by the Integration Team is depicted best by the following venn diagram. It represents the interdependencies of any/all changes that may be implemented in the organization.

### NOS Evolutionary Change

### NOS as a Learning Organization

Several key premises comprise the change strategy:

- C Change must be evolutionary and approached from a Learning as we are doing@ model. NOS employees will best understand the value of integrated efforts by doing integrated programmatic work.
- C The changes to NOS in its culture, operations and structure are highly interdependent and must be achieved through a pragmatic, simultaneous approach in all 3 target areas. A change in one part of the system will impact the other parts and requires clear orchestration, coordination and interdependency.
- C The culture component of this change strategy is the foundation to achieving all desired changes. However, it is possibly the most difficult piece to achieve since it essentially involves reshaping human behaviors, beliefs and attitudes. On the positive side, many of the cultural changes can be addressed without formal NOAA approval.
- C An overarching concept of change as a constant and NOS's ability to be adaptable and flexible as an organization is a theme presented throughout the recommendations.

In summary, NOS has an opportunity to start the new millenium as the national and global coastal stewardship change agent.

Success will follow if NOS:

- C Boldly seizes the leadership role on behalf of NOAA (which will quickly clarify NOS=s corporate identify).
- C Modifies its culture and systems to become more efficient and business-like.
- C Focuses all efforts and resources on maintaining credibility as a national and global player in coastal stewardship and fostering the coastal stewardship ethic.
- C Supports all actions, products and services with a robust science base.

## A. Culture

The culture change strategy for NOS includes components in leadership, learning by experience, training and development, succession planning, customer service and performance management. Specifically, NOS components must move to practices of:

- C Developing a clear coastal stewardship national agenda through a corporate decision and planning process.
- C Maintaining a flexible approach to change in NOS, modifying efforts Aas we go@, based on experience.
- C Accepting NOS=s sharing of resources and delivery of products and services and moving from a metaphorical track team behavior and individual performance to one like a basketball team of interdependent performance.

The following points highlight the desired new culture:

**Core Values:** Holds the stewardship mission above all else; is customer focused - external and internal; is trustworthy; and insists on mutual regard and respect for others.

**Corporate Focus:** Concerned about the balanced mission; understands and uses the breadth and depth of NOS capabilities to achieve coastal stewardship; values the NOS team above individual programs; and is proactive - wants to lead in making things happen.

**Behaves With:** Trust toward one another and delivers on commitments; exhibits leadership attributes; is the catalyst to make things happen; and is adaptable to change.

**Supports and Values:** Innovation and creativity; risk taking; learning from each other; sharing experiences; partnering at all levels; being open with information including best practices and success/failure; and being broad minded and fair.

## *Leadership*

Leadership throughout the organization must provide the example, both inside and outside NOS. Leadership efforts must include: (Appendix 10)

- C Defining and exemplifying core values and organizational operating principles, including ongoing involvement, communications and outreach to employees.
- C Achieving major changes by *cross organizational experiences*, which will have to be orchestrated and supported by top leadership.
- C Building an environment which instills the leadership spirit and behaviors through modeling, training, and performance management and accountability.
- C Developing inspirational and well skilled managers and leaders through succession planning, peer support, empowering employees, engendering trust and managing for results.
- C Tying corporate values into specific operational devices such as performance plans, strategic plan and annual operating plans.

## **Learning by Doing**

Changes in human behavior, attitude and belief systems will be most successfully achieved through positive experiences which demonstrate the positive results and value of integration and teamwork. Therefore, key components of the recommended culture change include learning experiences such as:

- C Specific cross-cutting initiatives proposed in the structure section of this report (e.g., remote sensing, hazards).
- C Rotational assignments tied to a career development/progression system which requires cross NOS experiences to move forward in the organization.
- C Infusion of team skills, leadership behavior, and interpersonal effectiveness while working on a NOS cross-cut team, special project, etc.

## **Training/Development**

A formal system of training and development must be designed and implemented for all NOS employees. It should be tiered for executives, managers/supervisors and employees.

The system must result in the following outcomes:

- C NOS goals and values serve as a basis for training experiences, recruitment and retention activities.
- C A clear career path and companion requirements for reaching each level in NOS are prescribed and linked to training.
- C Team skills and NOS leadership attributes are provided through:
  - ~ Formal courses
  - ~ Project specific process support

- C Adaptability and responsiveness to change skills will be fostered through formal training and on the job experiences.
- C Empowerment opportunities are provided to employees as part of career development and day-to-day work experiences.
- C Managers and supervisors are provided the Atools@ to effectively mentor and to coach employees in achieving the leadership role.
- C Key senior managers are selected to attend programs such as The Center For Creative Leadership.
- C The infrastructure to support training and development is responsive and accessible to all employees, lending to an eventual virtual training model. (To be further developed.)

Adequate funding, staff, time and effort must be given to the development of NOS=s most critical resource - its workforce.

## **Succession Planning**

Placing the right people in the right jobs in NOS needs to be done as an ongoing process within a clear system. NOS must build a succession plan for management and leadership, linking needs of the organization to individual skills and abilities. A progression plan must be designed, requiring key assignments and experiences to be achieved in order to become a manager or supervisor in NOS. Emphasis will be on achieving a horizontal and cross program experience base.

The system envisioned will be closely linked to a career planning system, based on the NOS core competencies and suite of stewardship capabilities.

## **Customer Service (External/Internal)**

The customer focused orientation needed in NOS has external and internal paths.

### **External**

Key initiatives must be undertaken to improve our external customer service, including:

- C Cataloging and clarifying NOS customers.
- C Selecting and using key feedback targets and mechanisms.
- C Initiating a standard customer satisfaction survey to begin tracking NOS=s impact in customer terms and to build responsiveness to changing needs.
- C Providing customers with easy access to NOS products, services and/or knowledge of what is available.
- C Tailoring NOS=s approach to customers to address differences and meet special needs.

### **Internal**

For NOS, one of the most important changes in culture is to understand ourselves as customers and suppliers to each other. We must recognize our dependence on each other to deliver our suite of products and services that further Coastal Stewardship.

- C Implementing an internal mechanism for obtaining goods and services from each other.
- C Appreciating key interdependencies by working together as teams on projects, programs and joint activities.
- C Addressing internal customer satisfaction through individual performance plans and ratings.
- C Placing high value and weight on mutual support and teamwork within NOS and NOAA.

This effort is high priority in helping to achieve the necessary shift in employee behavior.

### **Performance Management Systems**

Changing behavior is facilitated by changing what is measured and expected of people. The Integration Team believes the performance system must be revamped, with ties directly to expected results. The new system features should include:

- C Results based measures tied to program commitments (NOS Strategic Plan).
- C Supervisory, peer, employee feedback formally linked to final performance rating.
- C Incentives to achieve desirable performance.
- C Mechanisms for using all NOS employees productively.
- C Report to the nation on NOS impact on Coastal Stewardship goals (Annual Report).

## **B. Structure**

The extensive discussion of NOS products and services led to considerations in organizational structure to promote more effective delivery of products and services, enhance integration of activities in NOS, minimize duplication of effort, promote synergy among like products and services, and support the strengthening of NOS's overall image.

In addressing the structure component, the Integration Team considered the information presented in the charter papers.

INSERT - PROPOSED STRUCTURE OPTION CHART

Key features of the structure proposal include lines of business responsible for developing and delivering various clusters of products and services, regional Anodes@ as designated locations of focused NOAA presence, corporate decision mechanisms and cross organizational thematic or topical activities. Option descriptions and the Team votes are included in Appendix 11 for issues and options which were unresolved or where no consensus was reached.

## ***NOS Lines Of Business***

The key proposed Abusiness@ lines responsible for the suite of NOS products and services include Science, Response, , Navigation, Positioning, Management and Technical Services. These major offices, coupled with appropriate culture changes and integrated business processes, should promote NOS=s ability to effectively deliver the Coastal Stewardship mission and leadership role. Like products and services have been placed under the same business line in an effort to promote synergy, enhance ease of customer interface and minimize duplication of efforts. Each is briefly described below. Several structure proposals were presented, but the Team agreed to further discussion the model proposed on Page 14.

### ***Science***

The Integration Team addressed the mandate to provide a scientific basis for NOS decisions and programs and the need to ensure scientific integrity and integration of Coastal Stewardship activities. The Team, for the most part, believes (voted 9 to 1) that a strong cross-NOS-NOAA science coordination role, coupled with the functions, programs and activities identified as givens provides the most appropriate format. The programs included in the Science Office are:

- C Coastal Ocean Program
- C National Oceanographic Partnership Program
- C Great Lakes Environmental Research Laboratory
- C Coastal Monitoring and Bioeffects Division of NOS
- C NMFS Habitat Research Laboratories

Given the range of opinions and proposals in response to the Science Charter however, the Team recommends that Dr. Foster gather D. Scavia, D. Kennedy, D. Basta, A. Robertson and M. Davidison to:

- a. Thoroughly address outstanding issues and concerns outlined in Appendix 12.
- b. Develop an operating agreement for day-to-day interaction of the Science Office with other NOS lines of business.

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1/ The Team used the term >Response= to describe the current Hazmat IDAC functions. As the concept for this office is refined, however, we expect new elements would be added and the label changed to more accurately reflect the office=s product line.



## ***Response***

Response would initially consist of the Hazardous Materials Response Division and the Damage Assessment Center. Activities such as restoration and habitat, located elsewhere in NOAA, were suggested for possible inclusion later; the name of the function would eventually change to incorporate these activities in a more expansive role. A potential office name would be AResponse, Assessment, and Restoration@. Integration Team members are prepared to develop this proposal further, if requested.

## ***Navigation***

A majority of the Team believed that the Coast Survey Development Laboratory (CSDL) would remain as part of the Coast Survey instead of being moved to the Science Office. There was a minority argument put forward that CSDL as a research program would best fit with the Science Office.

The Team discussed the Oceanographic Products and Services Division (OPSD), to determine the best location for its program to achieve Coastal Stewardship. One alternative discussed was for OPSD to remain in the Office of Coast Survey, where the program could have proximity to others engaged in supporting navigation services. Another argument was presented that OPSD could provide better cross-NOS support in another office connected to the response function. During these discussions a third alternative was developed which suggested that OPSD continue to report to the Assistant Administrator for a 9 month period, during which the program could be further developed as a cross-NOS program and evaluated at the end of this time for the best placement. As no consensus was reached (see attached Option Description Appendix 11), brief papers highlighting the Team=s discussion are attached for consideration.

## ***Positioning***

Based on NOS=s continuing roles and responsibilities in this area, the existing Positioning function within NOS would remain in the National Geodetic Survey. As changes are made in culture and operations, more effort would be made to include its programs in a NOS context and to leverage its products and services in a broader approach and delivery system. NGS=s high potential for contribution to the integrated NOS suite of capabilities is envisioned as fundamental to the growth and development of all NOS programs.

The Integration Team saw no particular Avalue added@ to merging Coast Survey, NGS and OPSD under one office at this time. If the NOS integration mechanisms are effective, appropriate overall coordination and linkage among these product/service lines will occur.

## ***Management***

The Management product and service line would focus on the existing programs which provide NOS the authority, either directly or indirectly, to manage coastal areas. They include the Coastal Management Program, National Estuarine Research Reserves, National Marine Sanctuaries, and for the present, the Evaluation activities.

- C A majority of the activities in the Strategic Environmental Assessments Division (SEAD) were proposed to move into the AManagement@ function to more closely support management activities.
- C Further discussion will be held on the evolution of the evaluation function found in the Policy Coordination Division. Many team members felt that changing/improving this function and eventually broadening it to help in evaluating all NOS programs could provide a needed way of assessing program achievement in NOS.
- C The team also agreed that if the Management Office is approved, the internal functions should be realigned to better support achievement of their goals and management responsibilities. Discussions about this office included the idea that the Office Director position should be re-classified as a career position rather than a political position.
- C Early in the workshop, the Team discussed @business@ lines for NOS. The Sanctuary Program was proposed as one of the lines under the concept of Aprotection@, but the concept was not endorsed. The proposal was put forward again later in the process. While the group did not feel it was appropriate to discuss the idea again, most agreed to allow a brief discussion of the idea to be appended to this report. The Team did not consider including the proposed structure in the Option Diagram.

## ***Technical Services***

The Technical Service capabilities in NOS, if consolidated, will be better able to provide the necessary support for other functions in NOS as well as to support various other coastal resource programs.

- C This function would consist of the Coastal Services Center and parts of the Strategic Environmental Assessments Division, especially its remote sensing and GIS activities.
- C The preferred (not consensus) option for SEAD is to split it between the Management and Technical Services functions (with the possibility of moving another part of SEAD into a habitat program if NOS develops that capability). If SEAD is not split, there was no clear consensus on where it should be placed. The preferred options were to move it as a whole into either the Technical Services or the Management functions.

## ***Regional Presence***

NOS will foster Coastal Stewardship through the synergy of NOS collaborative programs and activities at regional scales. The term ARegional scales@ is used throughout this text to include regions as large as biogeographic provinces to regions as small as individual watersheds. Through regular communications and coordination among NOS components, especially those involved with field or other distributed efforts, NOS will be able to demonstrate the ways in which it maximizes its responses to mission requirements, provides the scientific and technical foundation and demonstrates leadership through strategic alliances internally and externally. Developing a mechanism for regional coordination and delivery will expand our ability to effectively fulfill our national responsibilities. The Team began to develop a more specific plan for a regional presence including coordination functions and site-specific and cross-cutting projects, but believes more needs to be done on the regional issues.

NOS will designate a Anode@ site for each region to facilitate regional communication and coordination. Site determination will be based on several factors:

- C Ability to provide facilities and staff for regional coordination, communication and administrative services on an Aas needed@ basis.
- C The presence or proximity of other NOS/NOAA facilities.
- C Ease of access.
- C Ability to conduct an initial assessment of needs, opportunities, and existing relationships within the region.
- C Opportunities the site presents to foster alliances with other Coastal Stewardship partners.

Regular (not frequent) meetings would be scheduled within the region for NOS, NOAA and NOAA affiliates to meet and share information about current and proposed programs and activities. The goal of these meetings will be:

- C To provide a forum for improved communication and awareness of NOS and NOAA involvement within the region.
- C To seek opportunities to maximize NOS responsiveness and/or capabilities through collaborative programs and activities.

Proposed criteria for identifying proposed regional programs and activities will include:

- C Degree to which proposed programs and activities foster Coastal Stewardship.
- C Degree to which they demonstrate NOS multi-functional capabilities, products or services.
- C Degree to which there are significant opportunities for supporting regional leadership and commitment towards national and regional Coastal Stewardship.
- C Ability to enhance NOS constituent and customer satisfaction with NOS programs and activities.

Eventually, after the Afine tuning@ has taken place, the discussions that are held at the regional level should be Aopen@ and should include, at a minimum, NOAA affiliates (e.g., state coastal zone, state marine fish and state Sea Grant). A potential future Apicture@ appears in Appendix 14 as well as a map of the NOS human resources in field locations.

### ***International Function***

The Integration Team views the international work as a cross-cutting NOS activity. Oversight of NOS international work should include:

- C Clear policy and decision criteria for NOS international work.
- C Decisions made through a corporate planning and decision process.

A small staff function is envisioned with an evolutionary process for developing a NOS international agenda through the corporate decision process

### ***Infrastructure Support Function***

The Team identified capabilities needed to support all program activities. There were specific needs identified for enhanced service in: information management, contracts, legislation, cost/benefit analysis and personnel. Overall, a vision of a program support capability that keeps pace with service demands was articulated.

### ***Cross-Cutting Initiatives***

The organization chart shows horizontal lines that cross cut all NOS levels of business. There are many examples of additional issues categorized in Appendix 17.

A number of cross cut pilot teams were proposed where NOS already has a strong interest or the Integration Team proposes relevant capability. They are Remote Sensing, Hazards and Habitat. The standard operating mode envisioned for managing these efforts is to designate a lead organization (generally technical lead), identify NOS team members (for synergy or interest) and articulate a charter and expected schedule. These initiatives will be generated generally through the Operations Committee process. The cross-cutting pilot initiatives can be accomplished regardless of any structural changes. The membership is identified by present organizational names. The proposed pilot projects are:

### ***Remote Sensing***

The lead for this pilot is the Coastal Service Center. Membership would include: CS, Hazmat, SEA, the Science Office, OCRM and NGS.

#### ***Charter:***

- C Broaden the application of remote sensing in Coastal Stewardship and expedite its application.
- C Coordinate efforts to build in synergy with other NOS entities in our interfaces with others.
- C Formulate a strategy for addressing national technical means.

Expected outcomes include: needs requirements, key internal and external contacts, a strategy and schedule.

### ***Hazards:***

The lead for this pilot team is the Coastal Services Center. Membership would include: CS, NGS, OCRM, Hazmat, the Science Office and SEA.

#### ***Charter:***

To develop a specific suite of products and services that mitigate coastal hazards through NOS's current and proposed activities.

### ***Habitat:***

This topic is seen as providing great potential opportunities not only within NOS but also across NOAA, especially with NMFS. The Team suggests that Dr. Foster work with a small team to aid in determining the role and opportunities for Habitat activities in NOS, in light of the incoming NMFS laboratory and other related work, such as Essential Fish Habitat.

## ***Key Infrastructure Features***

### ***Tiered Decision Making***

The Integration Team recommends a number of changes in the structure that promote corporate decision processes throughout NOS. The team proposed two key groups: An Executive Council and an Operations Committee. The operational framework and cultural underpinnings of these two groups will allow them to make a difference in the way NOS does business. The structural context must also be appropriate for them to be successful.

### ***NOS Executive Council***

The NOS Executive Council is the highest level of authority in NOS and would primarily serve as the enabling mechanism for the rest of NOS to accomplish its mission and goals.

Core roles of the Council are:

- C Setting and promulgating the NOS strategic agenda and vision.
- C Setting broad NOS policies.
- C Serving as key external interface.
- C Resolving high level issues.
- C Final authority in resource allocation.

Membership of the Council includes:

- C AA (Chair)
- C DAA
- C Line Office Directors
- C M&B Director
- C Regional Representation (To be determined)

The Assistant Administrator is the final decision maker for the agency and uses the Council members as key advisors in providing an integrated system view for NOS decisions.

### ***Operations Committee***

The Operations Committee's main mission is to serve as the NOS integrator. Its role will be further developed if the concept is adopted. Its core roles could focus on stewardship through:

- C Strategic planning and annual operating planning.
- C Program assessment and accountability.
- C Unplanned (NOS) level issue resolution (with NOS wide impact)
- C Forum for problem solving with integrated solutions.

Membership of the Committee would include:

- C Regional representation
- C Line Office representation
- C One Staff Office representative
- C Ad hoc members (To be determined - ex officio)
- C Chair: DAA (Chief Operating Officer)

Below the Operations Committee, the system could have cross-cutting committees with the right cross functional membership. Appendix 15 is a diagram of the initial thinking of the Integration Team on the tiered decision system.

Success criteria for the total decision system are dependent on many factors. A description of the desirable features as well as attributes for potential member selection criteria are provided in Appendix 16.

The Team agreed a staff was needed to aid the Council and Committee by coordinating, completing staff work and communicating on behalf of the council. There was discussion on the size and function of such a staff. Clearly, a small core staff size is recommended initially with potential to evolve to something larger, if necessary.

### ***Unresolved Options***

The unresolved options of the Science Office and OPSD are presented, with strong discretion given to the Assistant Administrator. Integration Team members have volunteered to support further thinking and deliberation for Dr. Foster=s decision making.

## **C. Operations (Day-To-Day Mechanisms To Promote Integration)**

NOS business and management practices currently operate and are structured to support an organization functioning as a holding company of independent sub-units. These practices present a myriad of issues to be resolved as NOS evolves to a fully interactive integrated organization positioned to lead NOAA=s Coastal Stewardship effort. New challenges are highlighted below:

- C A ***tiered decision making*** process needs to be established to organize NOS planning, policy, budgeting, resource management, program implementation and program integration into a corporate system.
- C Mechanisms and ***operating agreements*** need to be developed to provide for the exchange of, and support for, developing products and services. (Internal customer service)
- C ***Customer*** interactions need to be managed corporately.
- C ***Human resources*** activities need to be enhanced to prepare individuals and units to meet the agency=s new challenges. Programs and policies need to be made uniform across NOS (e.g., training, leadership development, evaluations, career development, personnel actions, etc.).
- C The use of ***science and technology*** needs to be enhanced in development of all NOS products and services.
- C Increased use of ***partnerships*** and cross-cutting programs is critical.
- C More ***information and data*** must be managed corporately.
- C Interactions with ***externals*** must be carried out corporately (e.g., international activities, Congressional exchanges, interagency, intra NOAA, etc.).

## **Tiered Decision Making**

The Team recommends that a small staff be established to support the Executive Council, the Operations Committee and the AA in formulating and implementing a corporate decision making system. (This feature was outlined in the Structure Section.)

Features of the decision system include policy formulation, resource allocation, operation plans, assignment of responsibility, performance measures and accountability mechanisms.

The Team envisioned that policy issues would flow from the Executive Council and the Operations Committee would develop plans of operation in concert with the NOS Staff. (Appendix 15)

## **Internal Customer Service (Within NOS)**

NOS culture and program efforts will shift to include more partnering and cross-cutting activities. This change requires more formal and institutionalized processes for obtaining internal NOS assistance and procuring internal goods and services.

The Team recommends that the Executive Council establish a policy and charge the Operations Committee to develop a process for internal customer service.

The Team also believes this is an essential step in implementing a change in culture and would replace an existing system of relying on Afriends@ to help and/or verbal agreements that are not always fulfilled.

Corporate decision making and internal contracting will reflect corporate priorities, with schedules, delivery on commitments and links to accountability mechanisms.

The Team also recommends that this mechanism be used between the Science Office and other line components.

## **External Customer Interactions**

NOS should create and maintain public and private sector partnerships as a cornerstone for mission accomplishment (state/local government, other Federal agencies, universities, private sector, and other line or staff offices in NOAA and not-for-profit organizations).

The Executive Council should establish a customer interactions policy and charge the Operations Committee to develop operating procedures and protocols. This item was also addressed under Culture Change.

The Team believes some key outcomes must be:

- C Dispel old misconceptions of NOS (e.g., NWS Data Buoy Center).
- C Convince other line offices in NOAA that NOS is changing.



- C Build new relationships with NOAA support offices.
- C Portray NOS as a partner rather than Afeds here to help you@.
- C Convey NOS as a corporate operation rather than sub-units.

## **Science And Technology Use In Decision Making**

The Team has recommended in the structure section that the AA move quickly to resolve the role and outstanding issues regarding integration of the Science Office into NOS.

In addition, the Team recommends in this section that internal operating agreements be used to establish and manage relationships between the Science Office and other line components.

Such formal mechanisms should result in an infusion of the scientific basis desired in all NOS programs. Such day-to-day practices will emphasize this essential need to all implementors.

## **Human Resource Development**

The Team believes a number of activities, which could be classified as human resource issues, should be reviewed and administered corporately. Specific recommendations appear in the structural change section, but it should be emphasized that day-to-day accountability should be tied to specific goals and objectives and program results.

Major changes and pilot efforts are recommended to be tested, when feasible, on the Executive Council and Operations Committee before general implementation.

## **Partnerships And Cross-Cutting Programs**

The Team fully endorses the Agivens@ that partnerships and cross-cutting activities need to be enhanced in NOS. Their value to NOS is recognized and acknowledged as essential if the lead role in Coastal Stewardship is to be successful.

The Team recommends that the Executive Council establish a clear policy and that they charge the Operations Committee with developing guidelines and protocols for formation and operation of cross-NOS, NOAA and external NOS teaming program and projects. (Appendix 17). The Team expects that the policy and processes developed will have (1) due regard for base programs, (2) provision for conflict resolution and (3) incentives to encourage and establish such efforts.



## **Internal Information Management**

The Team acknowledges that NOS is exploring opportunities and issues that must be addressed in improving information management.

Corporate policy needs to be established and a program development plan prepared guiding the evolution of NOS=s information management into a corporate system and single database.

The Team believes the Operations Committee should assist in this effort.

## **New Capabilities**

The Team recommends that specialized resources be obtained for communications and marketing of NOS=s leadership role, corporate identity, mission, strategies, and availability of product and services.

Tools are needed for:

- C Top-down communications.
- C Implementing mechanisms for ongoing dialogue, feedback and learning.
- C Procuring professional dedicated communications and marketing capabilities.
- C Providing accessibility to information on NOS products and services.

An investment analysis capability must be established to meet GPRA requirements and allow NOS to make trade-off and cost/benefit decisions.

## **D. Implementation B NOS Plan Of Action**

### **Preliminary Plan Of Action**

The following strategy summarizes Integration Team recommendations and prioritizes major change activities into 3 timeframes:

- C Three to Six Months
- C Six to Nine Months
- C Nine to Twelve months

NOS has to act quickly to implement these planned changes. The responsibility to carry out these recommended actions should be assigned to several different groups in, and levels of, the organization in order to be effectively accomplished.

## ***The Next Three to Six Months***

- C Commission the Integration Team to create a NOS ***Transition Plan*** for the planned changes with specificity and resource requirements.
- C Review overall resource requirements for this process and ***make NOS resource commitment*** for people and dollars.
- C Establish a ***corporate NOS decision making process*** and planning system to support an integrated NOS program.
  - ~ Clearly define responsibilities of the Operations Committee to manage integration issues and begin creating mechanisms for horizontal integration and a corporate resource allocation process.
  - ~ Structure NOS product delivery system to adapt to a changing agenda and revamp the role of the NOS Executive Council.
  - ~ The concept of mini-operating integration councils should also be developed to capture communications at the local, regional and national level across NOS programs.
  - ~ By the end of six months, the Operations Committee should be fully functioning in order to link all decision activities.
  - ~ NOS should formulate a results based strategic plan and begin implementing an annual internal planning process with results based measures. The annual operating plan should reflect an integrated NOS program.
  - ~ Measures for program and personal accountability must be established.
- C Promote cross-program and vertical communications with pilot efforts in ***remote sensing*** and ***hazards***.
- C AFlesh out@ concept of ***regional presence***.
- C Organizational Structure:
  - ~ Review and where appropriate, redefine the internal organizational ***structure/functional descriptions*** of the proposed line offices with special emphasis on the details for the Science, Response, Management and Technical Services line offices.
  - ~ Clarify roles and interactions of the NOS Science Office and its integration with the rest of NOS.
  - ~ Review the activities of NOS staff offices and develop a plan to increase their support of this overall plan.

## ***Six to Nine Months***

- C Develop leadership and career development training activities for managers and employees:
  - ~ Within the next 9 months, NOS needs to establish leadership training to support the framework for NOS culture changes.

- ~ Bring on-line an internal training capability for developing leadership, cross-program capabilities, adaptability to change.
- ~ Develop a training catalog and widely disseminate it to NOS employees to encourage them to update their skills.
- ~ Provide training to make the shift to a more integrated workplace culture including rotational assignments.
- ~ Implement the 360° review process for managerial/supervisory development for top levels.
- C Build an improved **customer service framework** for serving our internal NOS customers:
  - ~ NOS should establish baseline measures and a system for measuring impacts/results of NOS work internally as well as externally.
  - ~ NOS should also create an internal customer contracting system for goods and services mechanisms and process.
- C Improve overall internal systems and infrastructure to support a more integrated and focused NOS.
  - ~ Human Resources - NOS leadership must make decisions to put the right leaders in the right jobs and begin a formal succession planning system.
  - ~ Information Management - Expand CSC=s customer contact database for all of NOS. Compile a Awho=s doing what@ directory.
  - ~ Administrative Services - Enhance NOS administrative services to include information management, financial management, contracts, legal, evaluation, planning, human resources and investment analysis.
  - ~ Business Planning - Procure investment analysis and develop (GPRA) tools or capability to support program decision-making.

## ***Nine to Twelve Months***

- C Tools, Expertise, Products and Services:
  - ~ Develop an **inventory of tools and skills** expertise needed for Coastal Stewardship. Identify/resolve gaps and excess.
  - ~ Inventory NOS products and services to develop core competencies.
  - ~ Determine duplicative/superfluous capabilities and identify synergy potential.
  - ~ Begin building a single information database.
  - ~ Make NOS systems easily accessible for customers.
- C Legislation:
  - ~ Review and begin to modernize all NOS legislation.
  - ~ Begin process to establish coast stewardship legislation.

- C Refocus our ***relationships*** with our NOAA partners and ***customers*** and with all of our external constituents (partners, customers, stakeholders, etc.) to reflect our better integrated approach to coastal stewardship:
  - ~ Feedback/Involvement - Request and draw upon feedback from the externals on our change management strategy.
  - ~ Definition of NOS customers - Clearly define and catalog our customers.
  - ~ Create a contact database for NOAA.
  - ~ Marketing - Design a formal marketing program to market NOS internally and externally.
  - ~ Provide scientific/resource/economic baseline data and projected targets of opportunity.
  - ~ Create customer feedback and satisfaction mechanisms.
  - ~ Outreach B Take steps to optimize our regional, state and local presence.
  - ~ International Program - Develop a policy statement and decisive criteria for international work. Solidify an international program focus/direction.
  - ~ Create people independent customer access mechanisms.
  - ~ Partnerships within NOAA - Create formal operating agreements with the National Marine Fisheries Service and the Office of General Counsel to facilitate interaction as first priority.
- C Overhaul our ***performance management*** practices to better reflect an integrated coastal stewardship approach:
  - ~ Revise the evaluation system to include accountability for integrated program results and for support to others working within an integrated NOS activity.
  - ~ Develop a system to provide incentives, awards and recognition for accomplishments based on corporate performance and behavior.
- C Create a positive mechanism for better use of employees:
  - ~ NOS should develop a plan to best use all NOS human resources including a NOS succession planning process.
  - ~ Create a mechanism for fully using under used employees.
  - ~ Create a NOS Candidate Development Program and a system for identifying high potential employees for future agency leadership.



# SUMMARY OF CHANGE INITIATIVES

**Timeframe: Three to Six Months**

OPERATIONS	CULTURE	STRUCTURE
<p>C Establish NOS decision making and planning system and infrastructure:</p> <ul style="list-style-type: none"> <li>~ Executive Council</li> <li>~ Operations Committee</li> <li>~ Regional processes</li> </ul> <p>C Create an effective operating agreement between the Science Office and other NOS components.</p> <p>C Procure expert communications and marketing support. Begin an internal effective information dissemination system.</p>	<p>C Implement cross-program initiatives on Remote Sensing and Hazards</p> <p>C All SES personnel report to AA until final positions filled.</p> <p>C Formalize/fund/staff change initiative. Commission Integration Team to formulate a transition plan and Aflesh out@ parts of its proposal.</p> <p>C Implement the 360 performance rating system.</p> <p>C Leadership team establishes core values and operating norms.</p>	<p>C AFlesh out@ the lines of business.</p> <p>C Set up a parallel new organization effort to begin change and not disrupt current work.</p> <p>C Select Aright people for right jobs@.</p> <p>C AFlesh out@ the regional presence concept and pilot 2 regions - NOAA coastal program coordination role.</p> <p>C Establish an administrative organization to include contracting, information management and investment analysis.</p>



## SUMMARY OF CHANGE INITIATIVES (Continued)

**Timeframe: Six to Nine Months**

OPERATIONS	CULTURE	STRUCTURE
<p>C Establish baseline measures for:</p> <ul style="list-style-type: none"> <li>~ The resource</li> <li>~ The economy</li> <li>~ Internal teamwork</li> </ul> <p>C Internal information dissemination and management system definition.</p> <p>C Produce NOS results based on strategic and annual plans.</p> <p>C Create an internal customer/supplier contracting system for goods/services mechanisms.</p> <p>C Create external customer satisfaction survey mechanism for baseline and progress information.</p>	<p>C Create a NOS succession planning <u>system</u> tied to a career development program.</p> <p>C Provide key leaders and diagonal slice training events for adaptability, teamwork, and customer service. Need NOS <u>role models</u>. Select key leaders for Center for Creative Leadership courses.</p> <p>C Training and development program for all levels tied to performance management.</p>	<p>C Administrative support services - streamlined, responsive, targeted, new functions and investment analysis.</p>

## SUMMARY OF CHANGE INITIATIVES (Continued)

**Timeframe: Nine to Twelve Months**

OPERATIONS	CULTURE	STRUCTURE
<p>C Partnerships</p> <ul style="list-style-type: none"> <li>~ Definition of NOS customers</li> <li>~ Feedback/involvement in NOS changes</li> <li>~ Focus on GC and NMFS internally</li> </ul>	<p>C Overhaul performance management system:</p> <ul style="list-style-type: none"> <li>~ Incentives for results</li> <li>~ Teamwork rating</li> <li>~ Mechanism to optimize use of <u>all</u> employees</li> </ul> <p>C Establish a formal cross-training program tied to career development, succession planning and performance management.</p>	<p>C Legislation overhauls - create coastal stewardship legislation.</p> <p>C Product/service inventory - solidify core NOS competencies.</p> <p>C International program - policy/program definition.</p> <p>C Formal marketing/outreach effort designed and begins implementation.</p>

## V. SUMMARY AND CONCLUSIONS

This report culminates more than two years of effort by NOS to reshape its mission and products and services. Yet just 6 short months ago the rare challenge of instituting a major new mission was given to NOS - the NOAA lead in shaping national and global Coastal Stewardship.

This report offers numerous cultural, operational and structural recommendations for change that are necessary for NOS to undertake this new role.

The Integration Team does not believe that success requires all recommendations be formally implemented for NOS to be an effective leader. Although implementing all recommendations is desirable, much can be done without formal action.

Perhaps the biggest impact would occur if all individuals and existing units simply embrace the new role and change their attitudes, behaviors and actions accordingly. In the final analysis, success really resides in this domain. Nevertheless, the operational and structural recommendations are necessary to facilitate cultural shifts and ultimately make the delivery of products and services more efficient and effective. The important recommendations are the establishment of the management, coordination, integration and accountability mechanisms.

NOS is the correct choice to lead NOAA in Coastal Stewardship. The employees' talent, skills, overall capabilities and resources reside in NOS to do the job effectively.

## **V. APPENDICES**

- 1      Integration Team Members**
- 2      NOS Planned Change Process**
- 3      Change Mandates**
- 4      Organizational Change Worksheets**
- 5      Evolution Change**
- 6      Mission and Role**
- 7      Vision Diagram - Stewardship Flow**
- 8      NOS Tools and Toolbox**
- 9      Product and Service Inventory**
- 10     Leadership Attributes and Role**
- 11     Option Descriptions**
- 12     Science Office Issues**
- 13     OPSD Options**
- 14     Sanctuaries Option**
- 15     Regional Presence Map - Regional Future Option**
- 16     NOS Planning System Flow**
- 17     Success Criteria for Operations Committee**
- 18     Cross NOS Issues**

